

Responsible Office: Office of Small and Disadvantaged Business Utilization (Code K)  
Subject: The Goaling Process



## **Office of Small and Disadvantaged Business Utilization (HQ/Code K)**

### **Office Work Instruction**

## **The Goaling Process**

Approved by: Original signed by Ralph Thomas, III 5/9/00  
Ralph Thomas, III  
Associate Administrator for  
Office of Small and Disadvantaged Business Utilization

Responsible Office: Office of Small and Disadvantaged Business Utilization (Code K)  
Subject: The Goaling Process

## DOCUMENT HISTORY LOG

<u>Status</u> <u>(Baseline/</u> <u>Revision/</u> <u>Canceled)</u>	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline.		12/8/99	
Revision	A	5/9/00	Revisions made based on systemic analysis of ISO 9001 Registrar comments provided during February 2000 ISO 9001 Registrar precertification audit of NASA Headquarters Functional Offices. Changed document title to better represent work being performed.

Responsible Office: Office of Small and Disadvantaged Business Utilization (Code K)  
Subject: The Goaling Process

## 1. Purpose

The purpose of this procedure is to document the process by which the Office of Small and Disadvantaged Business Utilization (OSDBU) (Code K) develops and evaluates NASA goals and office functions against defined performance measures. The goals, defined by statute, regulation, and NASA policy (see Section 3.0), are designed to promote the full integration of small businesses, small disadvantaged businesses, including Historically Black Colleges and Universities (HBCUs) and other minority educational institutions (OMEIs), and women-owned businesses into NASA's missions and programs. The performance measures, determined by the process outlined in the office work instruction (OWI), are designed to evaluate OSDBU and NASA's performance in meeting the goals.

## 2. Scope and Applicability

This OWI covers those activities performed in OSDBU (Code K) to develop NASA goals and performance metrics, evaluate OSDBU and NASA's goal performance against those metrics, and conduct oversight of the Centers in implementing NASA performance goals.

## 3. Definitions

- 3.1 AA/SDBU. Associate Administrator for Small and Disadvantaged Business Utilization
- 3.2 ASM. Acquisition Strategy Meeting
- 3.3 Code H. Headquarters Office of Procurement
- 3.4 COTR. Contracting Officer Technical Representative
- 3.5 ESBC. Enterprise Small Business Coordinator
- 3.6 FRC. Federal Records Center
- 3.7 HBCU/OMEI. Historically Black Colleges and Universities and Other Minority Educational Institutions
- 3.8 Master-Buy Plan. Document in which the Centers give advance notice to Headquarters of procurements, that total over \$50 million including options.
- 3.9 NARA. National Archives Records Administration
- 3.10 OSDBU. Office of Small and Disadvantaged Business Utilization
- 3.11 PCR. SBA Procurement Center Representative
- 3.12 SBA. Small Business Administration

Responsible Office: Office of Small and Disadvantaged Business Utilization (Code K)  
Subject: The Goaling Process

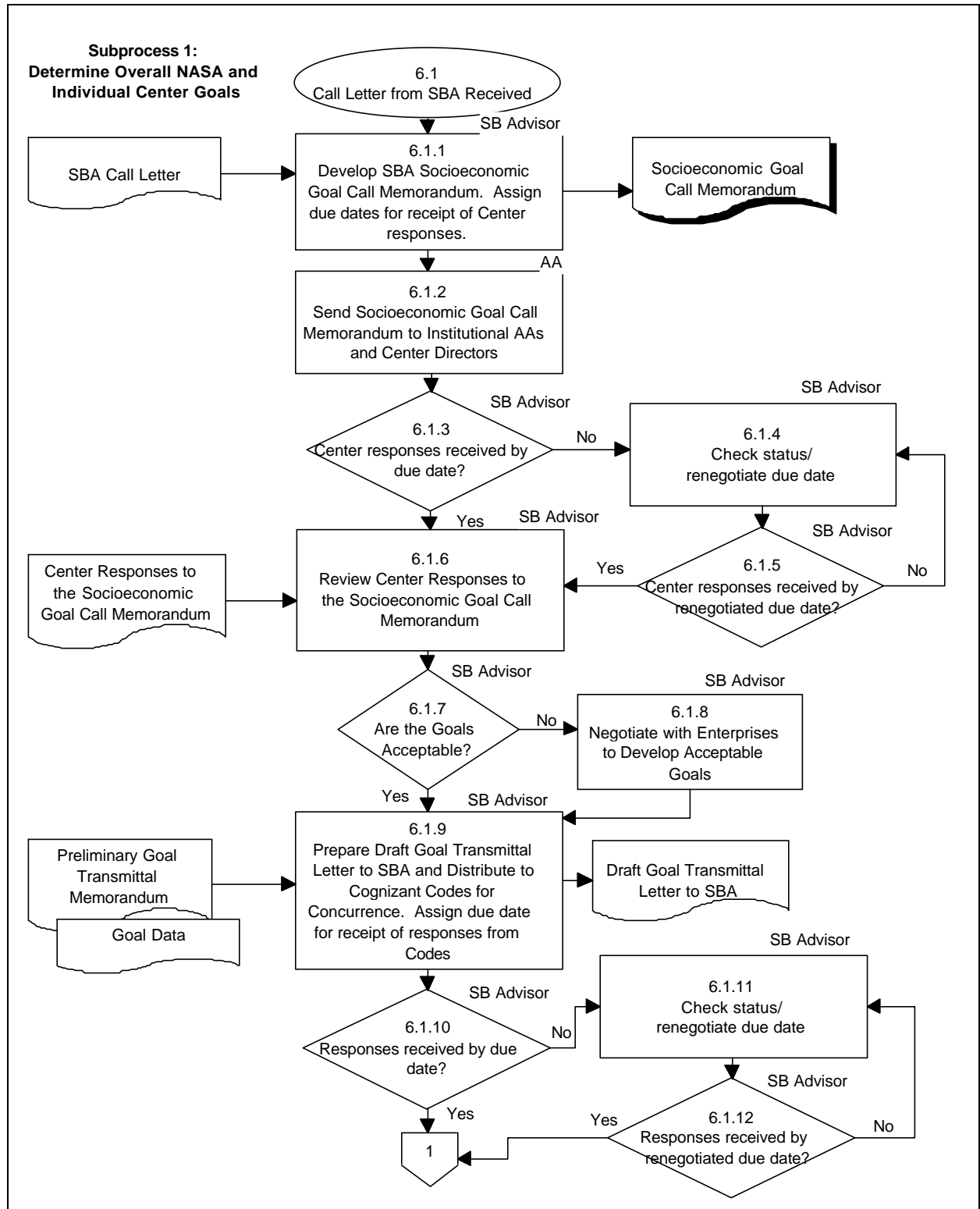
- 3.13 SB Advisor. Small Business Advisor, a position within the Code K
- 3.14 SBA Goal Accomplishments Letter. Letter issued by Code K that details subcontracting goal achievements for the fiscal year
- 3.15 SBS. Small Business Specialist
- 3.16 SF-294. Subcontracting Report for Individual Contracts, such as a project or a program.
- 3.17 SF-295. Summary Subcontracting Report furnished by each company corporate office for the sum of all its contracts with NASA
- 3.18 Small business set-aside. A category of Federal procurement contracts in which businesses bidding on those contracts as the prime contractor is limited to a specific category of) firms meeting SBA company-size standards.
- 3.19 Socioeconomic goals. Targets for contract awards to small, small disadvantaged, and woman-owned business
- 3.20 Small Business 8(a). Statutorily-mandated and SBA-directed program that limits the field of small businesses to emerging companies.

#### 4. References

- 4.1 NPD 1000.1 NASA Strategic Plan
- 4.2 NPD 1000.2 NASA Strategic Management Handbook
- 4.3 NPD 5000.2 Uniform Methodology for Determination of Small Disadvantaged Subcontracting Goals
- 4.4 Small Business Act of 1958 (Section 15), as amended
- 4.5 Public Law 95-507 (Section 221), October 26, 1978
- 4.6 Public Law 101-144, November 9, 1989
- 4.7 Public Law 101-507, November 5, 1990

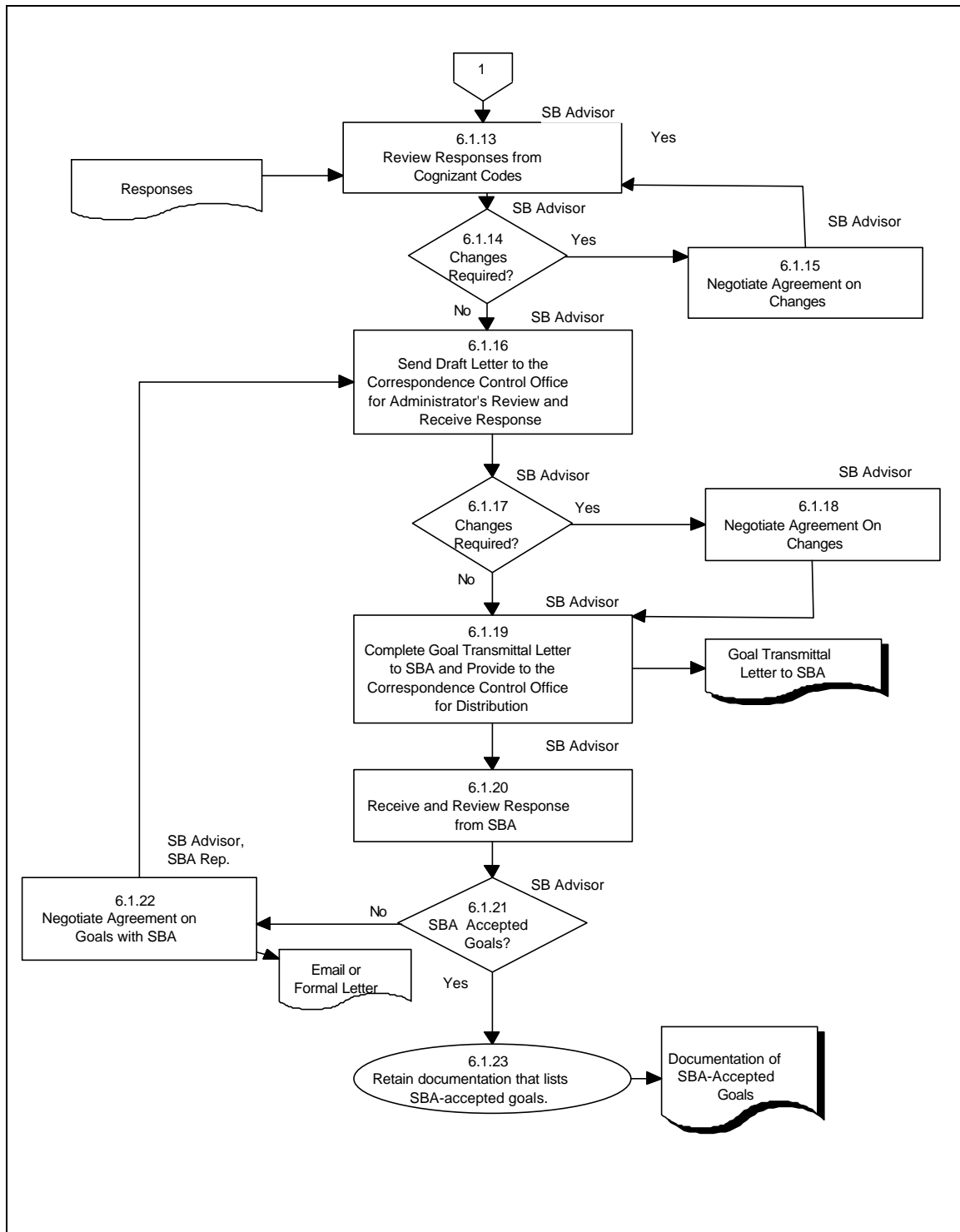
Responsible Office: Office of Small and Disadvantaged Business Utilization (Code K)  
 Subject: The Goaling Process

## 5. Flowchart



Responsible Office: Office of Small and Disadvantaged Business Utilization (Code K)  
 Subject: The Goaling Process

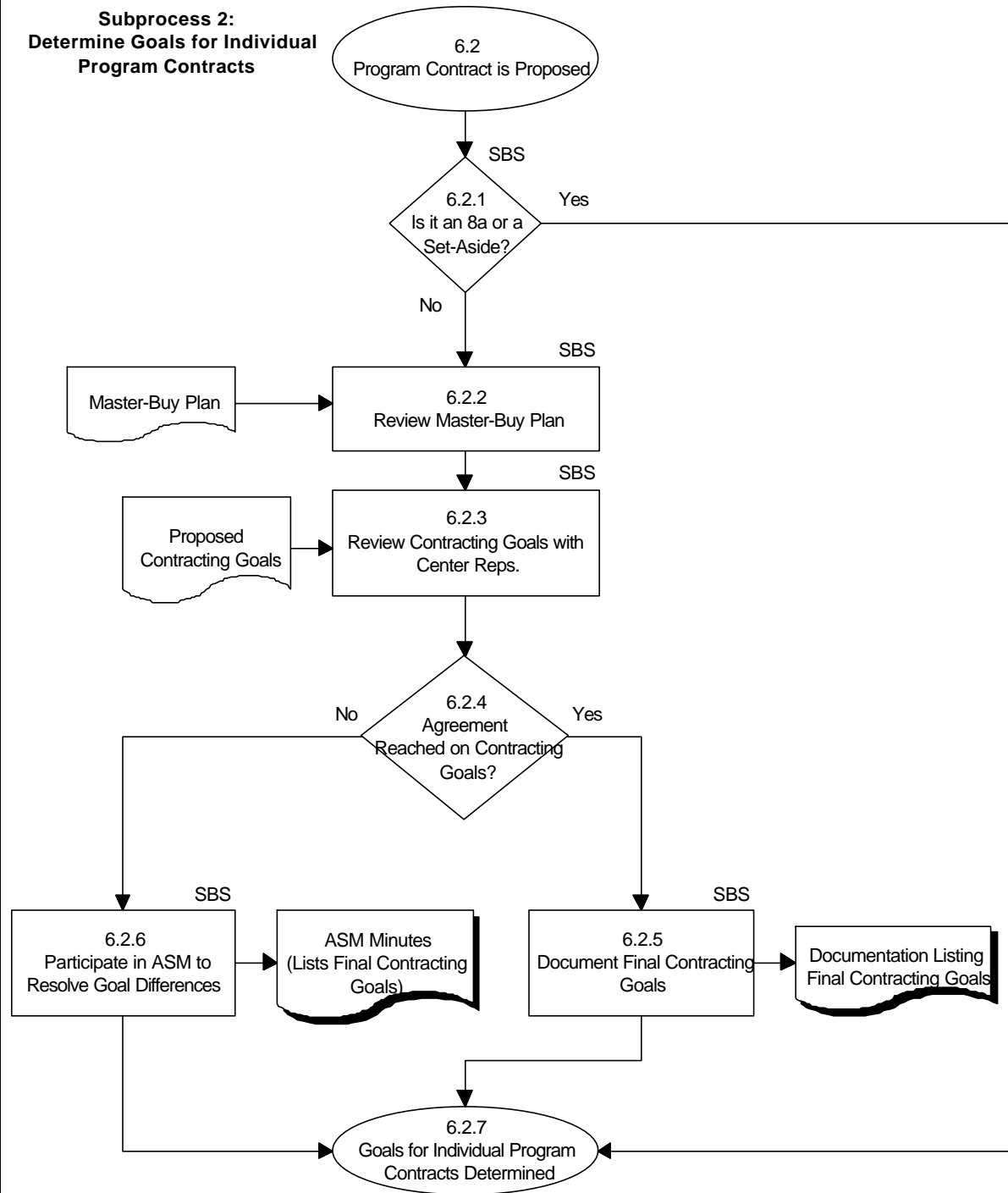
## Flowchart – continued



Responsible Office: Office of Small and Disadvantaged Business Utilization (Code K)  
 Subject: The Goaling Process

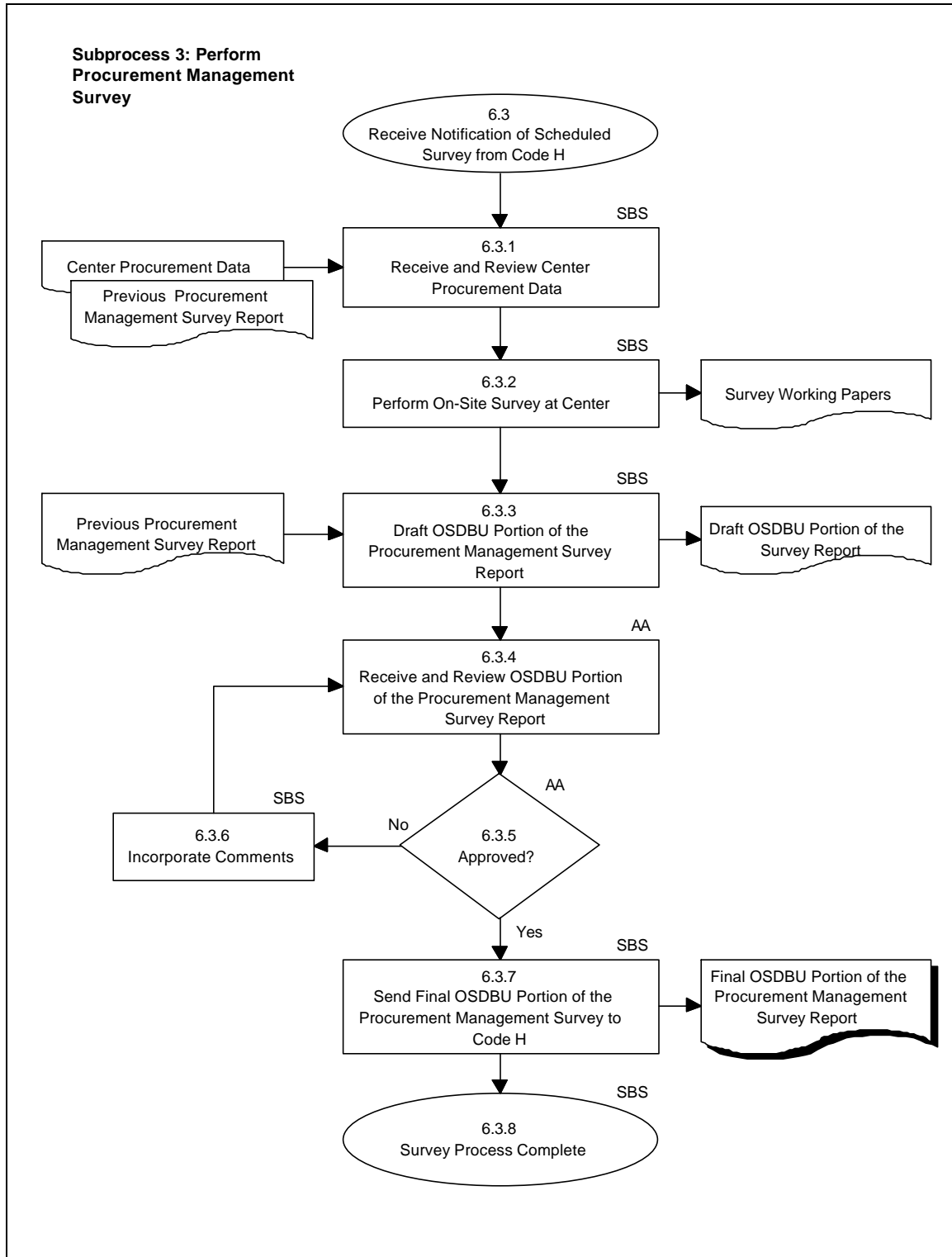
## Flowchart – continued

### Subprocess 2: Determine Goals for Individual Program Contracts



Responsible Office: Office of Small and Disadvantaged Business Utilization (Code K)  
Subject: The Goaling Process

## Flowchart – continued

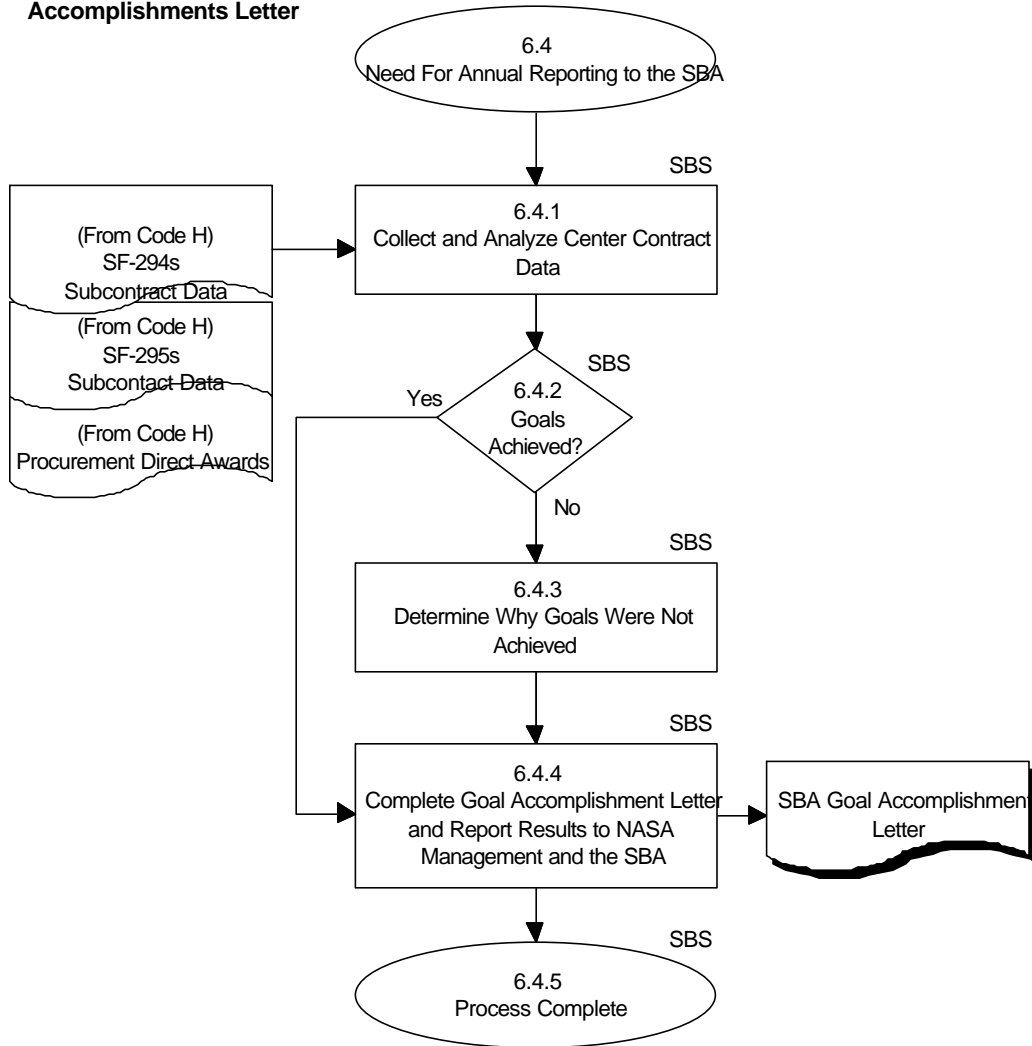




Responsible Office: Office of Small and Disadvantaged Business Utilization (Code K)  
Subject: The Goaling Process

## Flowchart – continued

### Subprocess 4: Prepare and Submit SBA Goal Accomplishments Letter



Responsible Office: Office of Small and Disadvantaged Business Utilization (Code K)  
Subject: The Goaling Process

## 6. Procedure

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
		The goal/ performance metrics development and evaluation process comprises four tasks documented in this procedure:
		1. Determining overall NASA and individual Center goals.
		2. Determining goals for individual program contracts.
		3. Conducting the procurement management survey.
		4. Preparing and delivering annual report to the SBA.

### Subprocess 1 – Determine Overall NASA and Individual Center Goals

6.1	SB Advisor	Receive yearly SBA call letter sent to AA/SDBU asking for Agency proposed socioeconomic goals for the next fiscal year.
6.1.1	SB Advisor	Develop Draft Goal Call Memorandum based on the SBA call letter. The memorandum is a request to Officials-in-Charge of Headquarters offices, Center Directors, and the Director of the Jet Propulsion Laboratory asking for goal estimates for the next fiscal year. Assign due date for receipt of Center responses. This assignment is based on the deadline specified in the SBA call letter requesting NASA's proposed socioeconomic goals and the time required to work with the Centers to develop the goals.
6.1.2	AA	Send the SBA Preliminary Goal Call Memorandum to institutional AAs and Center Directors. The Memorandum includes the due date and is signed by AA/SDBU.
6.1.3	SB Advisor	Confirm whether Center responses to the SBA Preliminary Goals Call Memorandum were received by the assigned due date. If responses were received by the due date, go to Step 6.1.6. If responses were not received by the due date, go to Step 6.1.4.
6.1.4	SB Advisor	If a Center does not respond by the due date, contact the Center OSDBU official, check the status, and assign a new due date.
6.1.5	SB Advisor	Confirm whether response was received by renegotiated due date. If the response was received by the renegotiated due date, go to Step 6.1.6. If the response was not received by the renegotiated due date, go to Step 6.1.4.
6.1.6	SB Advisor	Review the Center responses with the Enterprise SBCs to determine if the goals are appropriate based on historical data and current budget and operating

Responsible Office: Office of Small and Disadvantaged Business Utilization (Code K)  
Subject: The Goaling Process

- |        |            |                                                                                                                                                                                                                                 |
|--------|------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|        |            | conditions.                                                                                                                                                                                                                     |
| 6.1.7  | SB Advisor | If the goals are acceptable, go to Step 6.1.9. If the goals are not acceptable, go to Step 6.1.8.                                                                                                                               |
| 6.1.8  | SB Advisor | Negotiate with Enterprises to develop acceptable goals, based on historical data and current budget and operating conditions.                                                                                                   |
| 6.1.9  | SB Advisor | Prepare Draft Goal Transmittal letter to SBA. Distribute to cognizant codes (H,G,M,R,S,Y, AI,AB, and B) for concurrence. Assign due date for receipt of responses from Codes.                                                   |
| 6.1.10 | SB Advisor | Confirm whether responses were received by the due date. If they were, go to Step 6.1.13. If they were not, go to Step 6.1.11.                                                                                                  |
| 6.1.11 | SB Advisor | If a cognizant code does not respond by the due date, contact the code, check the status, and assign a new due date.                                                                                                            |
| 6.1.12 | SB Advisor | Confirm whether response was received by renegotiated due date. If the response was received by the renegotiated due date, go to Step 6.1.13. If the response was not received by the renegotiated due date, go to Step 6.1.11. |
| 6.1.13 | SB Advisor | Review responses from cognizant codes and determine if changes are required. Determination as to whether changes are necessary is based on SB Advisor's knowledge of the programs and professional judgment and experience.     |
| 6.1.14 | SB Advisor | If changes are required, go to Step 6.1.15. If changes are not required, go to Step 6.1.16.                                                                                                                                     |
| 6.1.15 | SB Advisor | Negotiate agreement on changes, with the Enterprise Small Business Coordinator.                                                                                                                                                 |
| 6.1.16 | SB Advisor | Send the draft letter to the Correspondence Control Office for the Administrator's review and receive Administrator's response.                                                                                                 |
| 6.1.17 | SB Advisor | Review Administrator's response to determine if changes are required based on the Administrator's review. If changes are required, go to Step 6.1.18. If changes are not required, go to Step 6.1.19.                           |
| 6.1.18 | SB Advisor | Negotiate agreement on the changes as defined by the Administrator.                                                                                                                                                             |
| 6.1.19 | SB Advisor | Complete Goal Transmittal Letter and provide to the Correspondence Control Office for distribution to the SBA with copies to concurring offices, other AAs, ESBCs, SBSs, Center Procurement Officers and Center Directors.      |
| 6.1.20 | SB Advisor | Receive and review response from SBA.                                                                                                                                                                                           |

Responsible Office: Office of Small and Disadvantaged Business Utilization (Code K)  
 Subject: The Goaling Process

- |        |                         |                                                                                                                                                            |
|--------|-------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 6.1.21 | SB Advisor              | Determine whether the SBA has accepted the NASA proposed goals. If no changes are required, go to Step 6.1.23. If changes are required, go to Step 6.1.22. |
| 6.1.22 | SB Advisor,<br>SBA Rep. | Negotiate Agreement on goals with SBA.                                                                                                                     |
| 6.1.23 | SB Advisor              | Summarize/retain in a memorandum or other form of documentation the Agency and Center goals accepted by the SBA.                                           |

## **Subprocess 2—Determine Goals for Individual Program Contracts**

- |       |      |                                                                                                                                                                                                        |
|-------|------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 6.2.  |      | A program contract is proposed.                                                                                                                                                                        |
| 6.2.1 | SBS  | If it is an 8(a) or a set-aside, go to Step 6.2.7. If it is not an 8(a) or a set-aside, go to Step 6.2.2.                                                                                              |
| 6.2.2 | SBS  | Review Master Buy Plan at OSDBU, which is furnished by HQ Office of Procurement, to determine proposed acquisition strategy for each individual contract.                                              |
| 6.2.3 | SBS, | Review with Center Representatives Center-proposed contracting to determine whether goals identified by the Centers can be met and provide meaningful parameters that can be measured and evaluated. . |
| 6.2.4 | SBS  | If the SBS and the Centers agree on contracting goals, go to Step 6.2.5. If the SBS and the Centers do not agree on subcontracting goals, go to Step 6.2.6.                                            |
| 6.2.5 | SBS  | Document Final Subcontracting Goals.                                                                                                                                                                   |
| 6.2.6 | SBS  | Participate in the ASM to resolve goal differences. List final contracting goals in the ASM minutes.                                                                                                   |
| 6.2.7 |      | Goals for individual program contracts determined.                                                                                                                                                     |

## **Subprocess 3— Perform Procurement Management Survey**

- |       |     |                                                                                                                                                |
|-------|-----|------------------------------------------------------------------------------------------------------------------------------------------------|
| 6.3   | SBS | Receive notification that a survey is scheduled, from Procurement Office (Code H).                                                             |
| 6.3.1 | SBS | Receive Center procurement data from Code H and review for accuracy and completeness. If more information is required, contact the Center SBS. |
| 6.3.2 | SBS | Perform survey at Center location. Prepare working papers and discuss findings and observations with Center management.                        |
| 6.3.3 | SBS | Draft the OSDBU portion of the Procurement Management Survey Report. Use the previous survey report as a reference.                            |
| 6.3.4 | AA  | Receive and review the OSDBU portion of the                                                                                                    |

Responsible Office: Office of Small and Disadvantaged Business Utilization (Code K)  
Subject: The Goaling Process

- |       |     |                                                                                                                                                                                                    |
|-------|-----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|       |     | Procurement Management Survey Report for accuracy and completeness. Provide any comments to the SBS for incorporation into the document.                                                           |
| 6.3.5 | AA  | If the OSDBU portion of the Procurement Management Survey Report is approved, go to Step 6.3.7. If the OSDBU portion of the Procurement Management Survey Report is not approved, go to Step 6.3.6 |
| 6.3.6 | SBS | Incorporate the AA's comments into the OSDBU portion of the Procurement Management Survey Report.                                                                                                  |
| 6.3.7 | AA  | Send the final version of the OSDBU portion of the Procurement Management Survey Report to the Office of Procurement for inclusion in the Procurement Management Survey Report.                    |
| 6.3.8 | SBS | Survey process complete.                                                                                                                                                                           |

#### **Subprocess 4— Prepare and Submit Annual Report to the SBA**

- |       |     |                                                                                                                                                                                                                                                                                                                                                                                                      |
|-------|-----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 6.4.  |     | SBA gives notification as to when to submit SBA Goal Accomplishments Letter.                                                                                                                                                                                                                                                                                                                         |
| 6.4.1 | SBS | Collect Center contract data from HQ Office of Procurement. Analyze the data from the direct procurements, SF-294s, and 295s to determine if the data are accurate, and if the contracting goals were achieved                                                                                                                                                                                       |
| 6.4.2 | SBS | If the contracting goals were achieved, go to Step 6.4.4. If the contracting goals were not achieved, go to Step 6.4.3.                                                                                                                                                                                                                                                                              |
| 6.4.3 | SBS | If the contracting goals were not achieved, determine why and convey that information to the AA/SDBU, Enterprise AAs, and Centers and take action to increase the involvement of small, minority, and women-owned businesses in NASA procurements and mission activities. This serves as the basis for recommended corrective and/or preventive action to Centers and/or Headquarters consideration. |
| 6.4.4 | SBS | Complete SBA Goal Accomplishment Letter, distribute to the Enterprises and Centers, and publish results of socioeconomic goal achievements for NASA Management and SBA.                                                                                                                                                                                                                              |
| 6.4.5 | SBS | Process complete.                                                                                                                                                                                                                                                                                                                                                                                    |

Responsible Office: Office of Small and Disadvantaged Business Utilization (Code K)  
Subject: The Goaling Process

## 7. Quality Records

Record Identification	Owner	Location	Record Media: Electronic or Hard Copy	Schedule Number and Item Number (NPG 1441.1)	Retention/Disposition
Socioeconomic Goal Call Memorandum	Code K	K Files	Hard Copy	Schedule 1, Item 22	Permanent. Retire to FRC when five years old in 5-year blocks. Transfer to NARA when 10 years old.
Goal Transmittal Letter to SBA	Code K	K Files	Hard Copy	Schedule 1, Item 22	Permanent. Retire to FRC when five years old in 5-year blocks. Transfer to NARA when 10 years old.
Documentation of SBA-Accepted Goals	Code K	K Files	Hard Copy	Schedule 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes.
ASM Minutes (Lists Final Contracting Goals)	Code K	K Files	Hard Copy	Schedule 1, Item 22	Permanent. Retire to FRC when five years old in 5-year blocks. Transfer to NARA when 10 years old.
Documentation Listing Final Contracting Goals	Code K	K Files	Hard Copy	Schedule 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes.
Final OSDBU Portion of the Procurement Management Survey Report	Code K	K Files	Hard Copy	Schedule 1, Item 22	Permanent. Retire to FRC when five years old in five-year blocks. Transfer to NARA when 10 years old
SBA Goal Accomplishment Letter	Code K	K Files	Hard Copy	Schedule 1, Item 22	Permanent. Retire to FRC when five years old in five-year blocks. Transfer to NARA when 10 years old